

2014-120 AUDIT SCOPE AND OBJECTIVES

California Public Utilities Commission—Customer Complaint Data

The audit by the California State Auditor will provide independently developed and verified information related to the California Public Utilities Commission's (CPUC) practices for compiling and disclosing consumer complaint data regarding communications service and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Evaluate the effectiveness of CPUC's policies and procedures for responding to requests from external stakeholders for customer complaint data, including but not limited to, a review of the following areas for a selection of requests over the past three fiscal years:
 - (a) Intake process and customer assistance.
 - (b) Tracking of requests.
 - (c) Timing of responses to request.
 - (d) Internal review of requests and approval of responses.
 - (e) Confidentiality of requests.
 - (f) Protection of customer privacy.
 - (g) Any special processing performed or priority given for certain requestors, such as the Office of Ratepayer Advocates, the Legislature, or others.
3. Determine how the CPUC's Consumer Affairs Branch (branch) ensures that the Consumer Information Management System (CIMS) generates valid and reliable data for identifying emerging customer service issues. As part of this determination, assess the use, validity, and reliability of CIMS' preset complaint categories, keyword searches, existing reports, and inquiry-related functionalities and whether the CIMS has the capability to track, compile, and report on complaint activity to enable data-driven decision making by CPUC, the Legislature, and the Federal Communications Commission.
4. Determine whether the branch has procedures to effectively track and report complaints related to the provision of basic service through digital technologies and Voice over Internet Protocol (VoIP).
5. Evaluate CPUC's process for posting customer complaint and contact data on its Web site including decisions on the nature of information to be disclosed—such as whether a complaint was resolved by the service provider and ensuring the accuracy and reliability of this data. Further, determine whether CPUC has taken steps to evaluate whether data is accessible, user-friendly, and valuable to customers, telecommunications carriers, and other stakeholders.

6. Review and assess any other issues that are significant to the audit.